



SEC INVESTOR ADVOCACY CLINIC SUMMIT

MARCH 31, 2022 | 10 a.m. – 3 p.m. ET

Summit Overview

The SEC Office of the Investor Advocate and the Retail Strategy Task Force are hosting the third SEC Investor Advocacy Clinic Summit as a virtual event on Thursday, March 31, 2022, from 10 a.m. to 3 p.m. Eastern.

Summit Opening Remarks and Public Outreach Event | 10 – 11:30 a.m.

The Summit opens at 10 a.m. with remarks from SEC Chair Gary Gensler, followed by a public outreach event, *Safeguarding the Golden Years: Avoiding Financial Fraud*. During the outreach event, panelists from the SEC, AARP, and the FINRA Investor Education Foundation will discuss the unique challenges facing senior investors and their caregivers, and law students from the Fordham University and University of Miami investor advocacy clinics will share lessons learned from senior fraud cases.

Summit Remarks and Featured Presentations | 11:40 a.m. – 3 p.m.

After the public outreach event, the Summit continues with remarks from SEC Commissioners Hester Peirce, Allison Herren Lee, and Caroline Crenshaw; SEC Investor Advocate Rick Fleming; and Gerri Walsh, President of the FINRA Investor Education Foundation. Law students from the Cardozo, Cornell, Howard, New York Law, Northwestern, Pace, St. John's, Seton Hall, and the University of Pittsburgh investor advocacy clinics will present on three timely topics—(1) speculative investing, crypto assets, and meme stocks; (2) the risks of options and margin trading; and (3) the impact of gamification on investor behavior—followed by discussions and question and answer sessions led by SEC senior staff from across the agency. This portion of the Summit is open to all SEC staff, the participating law school clinics, and invited attendees only.

Access the Summit

Members of the public may access the Summit opening remarks and the *Safeguarding the Golden Years: Avoiding Financial Fraud* public outreach event via live webcast on SEC.gov on Thursday, March 31, 2022 from 10 – 11:30 a.m.

View the Summit Opening Remarks and Public Outreach Event: [CLICK HERE](#)

Send questions for the public outreach event panelists to Summit2022@sec.gov

SEC staff, participating law school clinics, and invited attendees may access the full Summit via SEC Webex on Thursday, March 31, 2022 from 10 a.m. – 3 p.m. At the conclusion of the Summit, SEC staff, participating law school clinics, and invited attendees are welcome to stay on the SEC Webex for an informal, post-Summit Networking and Debriefing Session from 3 – 3:30 p.m.

Attend the Full Summit: [CLICK HERE](#)

For more information, please contact Hane Kim, Assistant Regional Director, SEC Retail Strategy Task Force at KimHa@sec.gov, and Tracey McNeil, SEC Ombudsman, at McNeilT@sec.gov.

AGENDA

Time	Activity	Speakers
10:00 a.m.	2022 SEC Investor Advocacy Clinic Summit Opens	
10:00 – 10:05 a.m.	Summit Welcome	Tracey McNeil, SEC Ombudsman
10:05 – 10:15 a.m.	Summit Opening Remarks	SEC Chair Gary Gensler
10:15 – 11:30 a.m.	SUMMIT PUBLIC OUTREACH EVENT Safeguarding the Golden Years: Avoiding Financial Fraud	Moderator • Teresa Verges, Regional Trial Counsel, SEC Miami Regional Office Panelists • Richard Best, Director, SEC New York Regional Office • Christine N. Kieffer, Senior Director, FINRA Investor Education Foundation • Nancy LeaMond, Executive Vice President and Chief Advocacy and Engagement Officer, AARP Presenters • Fordham University School of Law Securities Litigation and Arbitration Clinic • University of Miami School of Law Investor Rights Clinic
10:15 – 10:25 a.m.	Outreach Event Welcome and Introductions	• Hane Kim, Assistant Regional Director, Retail Strategy Task Force, SEC New York Regional Office • Teresa Verges, Regional Trial Counsel, SEC Miami Regional Office
10:25 – 10:35 a.m.	Presentation: Challenges faced by senior investors who were defrauded after following solicited and unsolicited investment advice	Fordham University School of Law Securities Litigation and Arbitration Clinic
10:35 – 10:45 a.m.	Moderated Discussion	
10:45 – 10:55 a.m.	Presentation: Challenges faced by caregivers intervening on behalf of defrauded senior investors	University of Miami School of Law Investor Rights Clinic
10:55 – 11:05 a.m.	Moderated Discussion	
11:05 – 11:25 a.m.	Outreach Event Q&A Session Attendees may send questions for the panelists to Summit2022@sec.gov	
11:25 – 11:30 a.m.	Outreach Event Closing Remarks	Hane Kim
11:30 – 11:40 a.m.	Break	
11:40 a.m. – 3:00 p.m.	SUMMIT REMARKS AND FEATURED PRESENTATIONS (Open to SEC staff, participating law school clinics, and invited attendees)	
11:40 – 11:55 a.m.	Commissioner's Remarks	SEC Commissioner Caroline Crenshaw
11:55 a.m. – 12:00 p.m.	Break	
12:00 – 12:05 p.m.	Remarks from the SEC Investor Advocate	Rick Fleming, SEC Investor Advocate
12:05 – 12:20 p.m.	Commissioner's Remarks	SEC Commissioner Allison Herren Lee
12:20 – 12:25 p.m.	Clinic Presentations: Overview and Introductions	Stacy Puente, Senior Special Counsel, Office of the Ombudsman, SEC Office of the Investor Advocate
12:25 – 12:45 p.m.	Featured Clinic Presentation Lessons Learned from Harmed Investors—Speculative Investing: Crypto Assets and Meme Stocks	Clinic Presenters • Cornell Law School Securities Law Clinic • Seton Hall University School of Law Investor Advocacy Project • University of Pittsburgh School of Law Securities Arbitration Clinic

Time	Activity	Speakers
12:45 – 12:55 p.m.	Moderated Q&A Session	SEC Moderator <ul style="list-style-type: none"> • Nancy Doty, Senior Counsel, Office of the Ombudsman, SEC Office of the Investor Advocate SEC Panelists <ul style="list-style-type: none"> • Alex Jadin, Senior Policy Counsel, Office of Analytics and Research, SEC Division of Trading and Markets • Pamela Sawhney, Senior Counsel, Cyber Unit, New York Regional Office, SEC Division of Enforcement • Amy Starr, Deputy Director, SEC Strategic Hub for Innovation and Financial Technology
12:55 – 1:00 p.m.	Break	
1:00 – 1:15 p.m.	Commissioner's Remarks	SEC Commissioner Hester Peirce
1:15 – 1:35 p.m.	Featured Clinic Presentation Lessons Learned from Harmed Investors—Risks of Options and Margin Trading	Clinic Presenters <ul style="list-style-type: none"> • Benjamin N. Cardozo School of Law Securities Arbitration Clinic • Howard University School of Law Investor Justice and Education Clinic • St. John's University School of Law Securities Arbitration Clinic
1:35 – 1:45 p.m.	Moderated Q&A Session	SEC Moderator <ul style="list-style-type: none"> • Adam Moore, Senior Counsel, Office of the Chief Counsel, SEC Office of the Investor Advocate SEC Panelists <ul style="list-style-type: none"> • Steven Buchholz, Assistant Regional Director, San Francisco Regional Office, SEC Division of Enforcement • Rahman Harrison, Senior Counsel, Office of Chief Counsel, SEC Office of Investor Education and Advocacy • Richard Holley, Assistant Director, Office of Market Supervision, SEC Division of Trading and Markets
1:45 – 1:55 p.m.	Break	
1:55 – 2:10 p.m.	Summit Remarks	Gerri Walsh, President, FINRA Investor Education Foundation and Senior Vice President, Investor Education, FINRA
2:10 – 2:15 p.m.	Break	
2:15 – 2:35 p.m.	Featured Clinic Presentation Lessons Learned from Harmed Investors—Gamification and Investor Behavior	Clinic Presenters <ul style="list-style-type: none"> • New York Law School Securities Arbitration Clinic • Northwestern University Pritzker School of Law Investor Protection Center • Elisabeth Haub School of Law at Pace University RealFi Investor Rights Clinic
2:35 – 2:45 p.m.	Moderated Q&A Session	SEC Moderator <ul style="list-style-type: none"> • Tonia Tornatore, Senior Counsel, Office of the Chief Counsel, SEC Office of the Investor Advocate SEC Panelists <ul style="list-style-type: none"> • Stephanie Fisher-Bennett, Exam Manager, Office of Broker-Dealer Exchanges, SEC Division of Examinations • Alicia Goldin, Senior Special Counsel, Office of Chief Counsel, SEC Division of Trading and Markets • Sirimal Mukerjee, Senior Special Counsel, Office of Investment Adviser Regulation, SEC Division of Investment Management
2:45 – 2:55 p.m.	Summit Closing Remarks	Rick Fleming, SEC Investor Advocate
2:55 – 3:00 p.m.	Summit Acknowledgements	Tracey McNeil, SEC Ombudsman
3:00 p.m.	2022 SEC Investor Advocacy Clinic Summit Ends	
3:00 – 3:30 p.m.	Post-Summit Networking and Debriefing Session	